

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
 (Under 37 CFR 1.97(b) or 1.97(c))

 Docket No. **#3**  
 15584.11

 In Re Application Of: **Combe et al.**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/540,788	June 27, 2005	Not yet known	022913	Not yet known	Not yet known

**Title: SINGLE PIECE OPTICAL MECHANICAL ASSEMBLY FOR OPTICAL DATA STORAGE ENGINES**

Address to:  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

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10/540,788	June 27, 2005	Not yet known	022913	Not yet known	Not yet known

Title: SINGLE PIECE OPTICAL MECHANICAL ASSEMBLY FOR OPTICAL DATA STORAGE ENGINES

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fa
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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on
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Signature

Dated: 30 Sept, 2005

Michael M. Ballard  
Reg. No. 54,978  
Customer No. 022913

CC:

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Combe et al.	)
		)
Serial No.:	10/540,788	)
		)
Filed:	June 27, 2005	)
		)
Confirmation No.:	Not yet known	)
		)
Title:	SINGLE PIECE OPTICAL MECHANICAL	)
	ASSEMBLY FOR OPTICAL DATA	)
	STORAGE ENGINES	)
		)
Customer No.:	022913	)

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR § 1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Please find, pursuant to 37 C.F.R. § 1.98 (a) (1), enclosed Form PTO-1449 that contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56 (c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 37 C.F.R. §§ 102 or 103, the enclosed list of references is disclosed to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Pursuant to 37 C.F.R. § 1.97 (g) and (h), Applicant makes no representation that a search has been made or that the information cited is considered to be material to patentability. Additionally,

Appl. No. : 10/540,788  
Filed : June 27, 2005

Applicant makes no representation regarding the completeness of this list nor represents that other art does not exist.

Applicant has listed publication dates on the attached Form PTO-1449 based on information that is presently available to the undersigned attorney of record. The listed publication dates, however, should not be construed as an admission that the references were actually published on the dates indicated and Applicant reserves the right to establish the actual publication dates of any of these references.

Applicant also reserves the right to establish patentability of the claimed invention over any of the listed references, and/or to prove that any of the listed references are not prior art, and/or to prove that any of the listed references do not enable or otherwise teach, suggest or disclose the claimed invention.

In accordance with United States Patent and Trademark Office OG Notice dated August 5, 2003, which waived the requirement under 37 C.F.R. § 1.98 (a) (2) (i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003, a copy of listed U.S. patents and U.S. patent application publications is not enclosed.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed foreign references or relevant portion thereof is enclosed.

In accordance with 37 C.F.R. § 1.98 (c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56 (c) of each non-English reference, if any, are also enclosed.

Appl. No. : 10/540,788  
Filed : June 27, 2005

Statement of Relevance of References Listed  
Unaccompanied by English Translation  
Under 37 C.F.R. § 1.98(a)(3)

In accordance with 37 C.F.R. § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided:

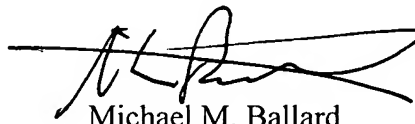
**PCT Patent No. WO 98/44507, 10/8/1998: Disk Storage Device and Method for the Production Thereof.** The invention relates to a disk storage device comprising one or more disk-type information carriers which are or can be fixed to a revolving disk carrier hub and are accommodated in an operating space of a device housing, said operating space being closed off from the environment. Data can be recorded or read out by or on these disk-type information carriers by means of optical or magnetic write/read heads which can be moved over the information carriers. The disk carrier hub and the write/read heads, together with their drive units, are mounted on a single piece device chassis. The bearing and mounting surfaces for the hub of the information carrier disks and the write/read heads and their drive units are processed on the device chassis in a clamp. The device chassis is made from a plate produced by stamping and shaping or embossing. The device can be produced in less stages and overall more economically using a chassis formed as a stamped and shaped plate and is also considerably easier to automatize compared to the castings which have been used as device chassis up until now. The invention also relates to a method for producing a disk storage device of this type.

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Filed : June 27, 2005

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency or credit any overpayment to our Deposit Account No. 23-3178 in connection with filing this document and any other documents filed herewith.

DATED this 11 day of October, 2005.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Michael M. Ballard', written over a horizontal line.

Michael M. Ballard  
Attorney for Applicants  
Registration No. 54,978  
Phone: (801) 533-9800

**CUSTOMER NO.: 022913**

Applicant: Combe et al.  
Serial No.: 10/540,788  
Filing Date: June 27, 2005  
For: SINGLE PIECE OPTICAL MECHANICAL ASSEMBLY FOR  
OPTICAL DATA STORAGE ENGINES

Att'y Docket No.: 15584.11

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
_____ A1	6,275,460	August 14, 2001	Nakayama et al.

U.S. Patent Publications

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Name</u>
_____ B1	US 2003/021220	January 30, 2003	Yoshiaki et al.

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>
_____ C1	WO 98/44507	October 8, 1998	PCT
_____ C2	EP 0981131	February 23, 2000	EPO
_____ C3	EP 1150284	October 31, 2001	EPO
_____ C4	EP 1189226	March 20, 2002	EPO

Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Combe et al.

Serial No.: 10/540,788

Att'y Docket No.: 15584.11

Filing Date: June 27, 2005

For: SINGLE PIECE OPTICAL MECHANICAL ASSEMBLY FOR  
OPTICAL DATA STORAGE ENGINES**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Combe et al.

Docket No.

15584.11

Application No.

10/540,788

Filing Date

June 27, 2005

Examiner

Not yet known

Customer No.

022913

Group Art Unit

Unassigned

Invention:

**SINGLE PIECE OPTICAL MECHANICAL ASSEMBLY FOR OPTICAL DATA STORAGE ENGINES**

I hereby certify that the following correspondence:

Transmittal Letter (2 pgs.); Information Disclosure Statement (4 pgs.); Form PTO 1449 Listing All Cited References (2 pgs.); Copies of Four of the Cited References; Certificate of Express Mailing Label No. EV 680255652 US; and postcard

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 11, 2005  
(Date)

Shanon Adkins*(Typed or Printed Name of Person Mailing Correspondence)*

Shanon Adkins  
*(Signature of Person Mailing Correspondence)*

EV 680255652 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**